

# PATENT COOPERATION TREATY

From the INTERNATIONAL SEARCHING AUTHORITY

# PCT

To:

CABOT CORPORATION  
Attn. Follett, Robert J.  
157 Concord Road  
Billerica, Massachusetts 01821-7001  
UNITED STATES OF AMERICA

MAR 14 2005

NOTIFICATION OF TRANSMITTAL OF  
THE INTERNATIONAL SEARCH REPORT AND  
THE WRITTEN OPINION OF THE INTERNATIONAL  
SEARCHING AUTHORITY, OR THE DECLARATION



(PCT Rule 44.1)

Date of mailing  
(day/month/year)

11/03/2005

Applicant's or agent's file reference

03 090/RJF

**FOR FURTHER ACTION**

See paragraphs 1 and 4 below

International application No.

PCT/US2004/034957

International filing date  
(day/month/year)

20/10/2004

Applicant

CABOT CORPORATION

1. ☒ The applicant is hereby notified that the international search report and the written opinion of the International Searching Authority have been established and are transmitted herewith.

**Filing of amendments and statement under Article 19:**

The applicant is entitled, if he so wishes, to amend the claims of the International Application (see Rule 46):

**When?** The time limit for filing such amendments is normally 2 months from the date of transmittal of the International Search Report; however, for more details, see the notes on the accompanying sheet.

**Where?** Directly to the International Bureau of WIPO, 34 chemin des Colombettes  
1211 Geneva 20, Switzerland, Facsimile No.: (41-22) 740.14.35

For more detailed instructions, see the notes on the accompanying sheet.

2. ☐ The applicant is hereby notified that no international search report will be established and that the declaration under Article 17(2)(a) to that effect and the written opinion of the International Searching Authority are transmitted herewith.

3. ☐ With regard to the protest against payment of (an) additional fee(s) under Rule 40.2, the applicant is notified that:

☐ the protest together with the decision thereon has been transmitted to the International Bureau together with the applicant's request to forward the texts of both the protest and the decision thereon to the designated Offices.

☐ no decision has been made yet on the protest; the applicant will be notified as soon as a decision is made.

**4. Reminders**

Shortly after the expiration of **18 months** from the priority date, the international application will be published by the International Bureau. If the applicant wishes to avoid or postpone publication, a notice of withdrawal of the international application, or of the priority claim, must reach the International Bureau as provided in Rules 90bis.1 and 90bis.3, respectively, before the completion of the technical preparations for international publication.

The applicant may submit comments on an informal basis on the written opinion of the International Searching Authority to the International Bureau. The International Bureau will send a copy of such comments to all designated Offices unless an international preliminary examination report has been or is to be established. These comments would also be made available to the public but not before the expiration of 30 months from the priority date.

Within **19 months** from the priority date, but only in respect of some designated Offices, a demand for international preliminary examination must be filed if the applicant wishes to postpone the entry into the national phase until **30 months** from the priority date (in some Offices even later); otherwise, the applicant must, within **20 months** from the priority date, perform the prescribed acts for entry into the national phase before those designated Offices.

In respect of other designated Offices, the time limit of **30 months** (or later) will apply even if no demand is filed within 19 months.

See the Annex to Form PCT/IB/301 and, for details about the applicable time limits, Office by Office, see the *PCT Applicant's Guide*, Volume II, National Chapters and the WIPO Internet site.

Name and mailing address of the International Searching Authority



European Patent Office, P.B. 5818 Patentlaan 2  
NL-2280 HV Rijswijk  
Tel. (+31-70) 340-2040, Tx. 31 651 epo nl,  
Fax: (+31-70) 340-3016

Authorized officer

Wolfgang Borinski

## NOTES TO FORM PCT/ISA/220

These Notes are intended to give the basic instructions concerning the filing of amendments under article 19. The Notes are based on the requirements of the Patent Cooperation Treaty, the Regulations and the Administrative Instructions under that Treaty. In case of discrepancy between these Notes and those requirements, the latter are applicable. For more detailed information, see also the PCT Applicant's Guide, a publication of WIPO.

In these Notes, "Article", "Rule", and "Section" refer to the provisions of the PCT, the PCT Regulations and the PCT Administrative Instructions respectively.

### INSTRUCTIONS CONCERNING AMENDMENTS UNDER ARTICLE 19

The applicant has, after having received the international search report, one opportunity to amend the claims of the international application. It should however be emphasized that, since all parts of the international application (claims, description and drawings) may be amended during the international preliminary examination procedure, there is usually no need to file amendments of the claims under Article 19 except where, e.g. the applicant wants the latter to be published for the purposes of provisional protection or has another reason for amending the claims before international publication. Furthermore, it should be emphasized that provisional protection is available in some States only.

#### What parts of the international application may be amended?

Under Article 19, only the claims may be amended.

During the international phase, the claims may also be amended (or further amended) under Article 34 before the International Preliminary Examining Authority. The description and drawings may only be amended under Article 34 before the International Examining Authority.

Upon entry into the national phase, all parts of the international application may be amended under Article 28 or, where applicable, Article 41.

#### When?

Within 2 months from the date of transmittal of the international search report or 16 months from the priority date, whichever time limit expires later. It should be noted, however, that the amendments will be considered as having been received on time if they are received by the International Bureau after the expiration of the applicable time limit but before the completion of the technical preparations for international publication (Rule 46.1).

#### Where not to file the amendments?

The amendments may only be filed with the International Bureau and not with the receiving Office or the International Searching Authority (Rule 46.2).

Where a demand for international preliminary examination has been/is filed, see below.

#### How?

Either by cancelling one or more entire claims, by adding one or more new claims or by amending the text of one or more of the claims as filed.

A replacement sheet must be submitted for each sheet of the claims which, on account of an amendment or amendments, differs from the sheet originally filed.

All the claims appearing on a replacement sheet must be numbered in Arabic numerals. Where a claim is cancelled, no renumbering of the other claims is required. In all cases where claims are renumbered, they must be renumbered consecutively (Administrative Instructions, Section 205(b)).

The amendments must be made in the language in which the international application is to be published.

#### What documents must/may accompany the amendments?

##### **Letter (Section 205(b)):**

The amendments must be submitted with a letter.

The letter will not be published with the international application and the amended claims. It should not be confused with the "Statement under Article 19(1)" (see below, under "Statement under Article 19(1)").

The letter must be in English or French, at the choice of the applicant. However, if the language of the international application is English, the letter must be in English; if the language of the international application is French, the letter must be in French.

## NOTES TO FORM PCT/ISA/220 (continued)

The letter must indicate the differences between the claims as filed and the claims as amended. It must, in particular, indicate, in connection with each claim appearing in the international application (it being understood that identical indications concerning several claims may be grouped), whether

- (i) the claim is unchanged;
- (ii) the claim is cancelled;
- (iii) the claim is new;
- (iv) the claim replaces one or more claims as filed;
- (v) the claim is the result of the division of a claim as filed.

The following examples illustrate the manner in which amendments must be explained in the accompanying letter:

1. [Where originally there were 48 claims and after amendment of some claims there are 51]:  
"Claims 1 to 29, 31, 32, 34, 35, 37 to 48 replaced by amended claims bearing the same numbers; claims 30, 33 and 36 unchanged; new claims 49 to 51 added."
2. [Where originally there were 15 claims and after amendment of all claims there are 11]:  
"Claims 1 to 15 replaced by amended claims 1 to 11."
3. [Where originally there were 14 claims and the amendments consist in cancelling some claims and in adding new claims]:  
"Claims 1 to 6 and 14 unchanged; claims 7 to 13 cancelled; new claims 15, 16 and 17 added." or  
"Claims 7 to 13 cancelled; new claims 15, 16 and 17 added; all other claims unchanged."
4. [Where various kinds of amendments are made]:  
"Claims 1-10 unchanged; claims 11 to 13, 18 and 19 cancelled; claims 14, 15 and 16 replaced by amended claim 14; claim 17 subdivided into amended claims 15, 16 and 17; new claims 20 and 21 added."

### "Statement under article 19(1)" (Rule 46.4)

The amendments may be accompanied by a statement explaining the amendments and indicating any impact that such amendments might have on the description and the drawings (which cannot be amended under Article 19(1)).

The statement will be published with the international application and the amended claims.

It must be in the language in which the international application is to be published.

It must be brief, not exceeding 500 words if in English or if translated into English.

It should not be confused with and does not replace the letter indicating the differences between the claims as filed and as amended. It must be filed on a separate sheet and must be identified as such by a heading, preferably by using the words "Statement under Article 19(1)."

It may not contain any disparaging comments on the international search report or the relevance of citations contained in that report. Reference to citations, relevant to a given claim, contained in the international search report may be made only in connection with an amendment of that claim.

### Consequence if a demand for international preliminary examination has already been filed

If, at the time of filing any amendments under Article 19, a demand for international preliminary examination has already been submitted, the applicant must preferably, at the same time of filing the amendments with the International Bureau, also file a copy of such amendments with the International Preliminary Examining Authority (see Rule 62.2(a), first sentence).

### Consequence with regard to translation of the international application for entry into the national phase

The applicant's attention is drawn to the fact that, where upon entry into the national phase, a translation of the claims as amended under Article 19 may have to be furnished to the designated/elected Offices, instead of, or in addition to, the translation of the claims as filed.

For further details on the requirements of each designated/elected Office, see Volume II of the PCT Applicant's Guide.

## PATENT COOPERATION TREATY

## PCT

## INTERNATIONAL SEARCH REPORT

(PCT Article 18 and Rules 43 and 44)

Applicant's or agent's file reference 03090/RJF	<b>FOR FURTHER ACTION</b> see Form PCT/ISA/220 as well as, where applicable, item 5 below.	
International application No. PCT/US2004/034957	International filing date (day/month/year) 20/10/2004	(Earliest) Priority Date (day/month/year) 28/10/2003
Applicant  CABOT CORPORATION		

This International Search Report has been prepared by this International Searching Authority and is transmitted to the applicant according to Article 18. A copy is being transmitted to the International Bureau.

This International Search Report consists of a total of 5 sheets.

☒ It is also accompanied by a copy of each prior art document cited in this report.

## 1. Basis of the report

- a. With regard to the **language**, the international search was carried out on the basis of the international application in the language in which it was filed, unless otherwise indicated under this item.
- ☐ The international search was carried out on the basis of a translation of the international application furnished to this Authority (Rule 23.1(b)).

- b. ☐ With regard to any **nucleotide and/or amino acid sequence** disclosed in the international application, see Box No. I.

2. ☐ **Certain claims were found unsearchable** (See Box II).

3. ☐ **Unity of invention is lacking** (see Box III).

4. With regard to the **title**,

- ☒ the text is approved as submitted by the applicant.
- ☐ the text has been established by this Authority to read as follows:

5. With regard to the **abstract**,

- ☒ the text is approved as submitted by the applicant.
- ☐ the text has been established, according to Rule 38.2(b), by this Authority as it appears in Box No. IV. The applicant may, within one month from the date of mailing of this international search report, submit comments to this Authority.

6. With regard to the **drawings**,

- a. the figure of the **drawings** to be published with the abstract is Figure No. \_\_\_\_\_
- ☐ as suggested by the applicant.
- ☐ as selected by this Authority, because the applicant failed to suggest a figure.
- ☐ as selected by this Authority, because this figure better characterizes the invention.
- b. ☒ none of the figures is to be published with the abstract.

# INTERNATIONAL SEARCH REPORT

International Application No

PCT/US2004/034957

**A. CLASSIFICATION OF SUBJECT MATTER**  
IPC 7 C09D5/00 C09D11/00

According to International Patent Classification (IPC) or to both national classification and IPC

**B. FIELDS SEARCHED**

Minimum documentation searched (classification system followed by classification symbols)  
IPC 7 C09D

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data-base consulted during the international search (name of data base and, where practical, search terms used)

EPO-Internal, WPI Data, PAJ

**C. DOCUMENTS CONSIDERED TO BE RELEVANT**

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	EP 0 716 131 A (ROHM AND HAAS COMPANY) 12 June 1996 (1996-06-12) claim 4 table 1-4	1-40
X	WO 02/33008 A (AVECIA B.V; AVECIA LIMITED; OVERBEEK, GERARDUS, CORNELIS; MARTIN, EMIL) 25 April 2002 (2002-04-25) page 36 - page 42 example 1	1-40
X	WO 01/36547 A (COATES BROTHERS PLC; ALLEN, HUGH, ALEXANDER; MARTIN, RICHARD, VINCENT,) 25 May 2001 (2001-05-25) example 5	1-40
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☒ Further documents are listed in the continuation of box C.

☒ Patent family members are listed in annex.

\* Special categories of cited documents:

- \*A\* document defining the general state of the art which is not considered to be of particular relevance
- \*E\* earlier document but published on or after the international filing date
- \*L\* document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)
- \*O\* document referring to an oral disclosure, use, exhibition or other means
- \*P\* document published prior to the international filing date but later than the priority date claimed

- \*T\* later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention
- \*X\* document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone
- \*Y\* document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art.
- \*Z\* document member of the same patent family

Date of the actual completion of the international search

4 March 2005

Date of mailing of the international search report

11/03/2005

Name and mailing address of the ISA

European Patent Office, P.B. 5818 Patentlaan 2  
NL - 2280 HV Rijswijk  
Tel. (+31-70) 340-2040, Tx. 31 651 epo nl,  
Fax: (+31-70) 340-3016

Authorized officer

Kositza, M

# INTERNATIONAL SEARCH REPORT

Information on patent family members

International Application No

PCT/US2004/034957

Patent document cited in search report	Publication date	Patent family member(s)	Publication date
US 5713988	A	AU 4471996 A	03-07-1996
		AU 706229 B2	10-06-1999
		AU 4472096 A	03-07-1996
		BR 9509137 A	21-07-1998
		BR 9510016 A	28-10-1997
		BR 9510057 A	16-06-1998
		CA 2207455 A1	20-06-1996
		CA 2207475 A1	20-06-1996
		CN 1319627 A	31-10-2001
		CN 1160415 A ,C	24-09-1997
		CN 1175272 A ,C	04-03-1998
		CN 1175268 A ,C	04-03-1998
		CZ 9701841 A3	12-11-1997
		CZ 9701843 A3	15-07-1998
		DE 69516179 D1	11-05-2000
		DE 69516179 T2	05-10-2000
		DE 69516721 D1	08-06-2000
		DE 69516721 T2	28-12-2000
		EG 21047 A	31-10-2000

# INTERNATIONAL SEARCH REPORT

Information on patent family members

International Application No

PCT/US2004/034957

Patent document cited in search report	Publication date	Patent family member(s)	Publication date
EP 0716131	A	12-06-1996	US 5506282 A 09-04-1996
		AU 690761 B2 30-04-1998	
		AU 3917795 A 13-06-1996	
		BR 9505599 A 04-11-1997	
		CA 2163606 A1 07-06-1996	
		CN 1130662 A ,C 11-09-1996	
		DE 69507273 D1 25-02-1999	
		DE 69507273 T2 12-08-1999	
		EP 0716131 A2 12-06-1996	
		ES 2127480 T3 16-04-1999	
		IL 116232 A 19-03-2001	
		JP 8224538 A 03-09-1996	
		SG 32531 A1 13-08-1996	
		ZA 9510300 A 15-07-1996	
WO 0233008	A	25-04-2002	AU 9398301 A 29-04-2002
			EP 1328591 A1 23-07-2003
			WO 0233008 A1 25-04-2002
			US 2003191231 A1 09-10-2003
WO 0136547	A	25-05-2001	GB 2356403 A 23-05-2001
			AU 1163801 A 30-05-2001
			EP 1234008 A1 28-08-2002
			WO 0136547 A1 25-05-2001
JP 60120795	A	28-06-1985	NONE
US 5713988	A	03-02-1998	US 5554739 A 10-09-1996
			AT 189827 T 15-03-2000
			AU 708495 B2 05-08-1999
			AU 4472196 A 03-07-1996
			BR 9510058 A 16-06-1998
			CA 2207427 A1 20-06-1996
			CN 1175271 A ,C 04-03-1998
			CZ 9701844 A3 15-07-1998
			DE 69515129 D1 23-03-2000
			DE 69515129 T2 28-09-2000
			DK 797635 T3 31-07-2000
			EG 21020 A 30-09-2000
			EP 0797635 A2 01-10-1997
			ES 2145326 T3 01-07-2000
			HK 1003648 A1 12-01-2001
			HU 77809 A2 28-08-1998
			IL 116378 A 29-05-2003
			JP 10510864 T 20-10-1998
			NO 972734 A 11-08-1997
			NZ 298989 A 28-01-2000
			PL 320729 A1 27-10-1997
			RO 117800 B1 30-07-2002
			SI 9520128 A 30-04-1998
			TR 960555 A2 21-07-1996
			TW 391980 B 01-06-2000
			WO 9618694 A2 20-06-1996
			ZA 9510660 A 30-05-1996
			AT 191493 T 15-04-2000
			AT 288946 T 15-02-2005
			AU 4378596 A 03-07-1996
			AU 692349 B2 04-06-1998

# INTER. TIONAL SEARCH REPORT

International Application No

PCT/US2004/034957

## C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	PATENT ABSTRACTS OF JAPAN vol. 009, no. 271 (C-311), 29 October 1985 (1985-10-29) & JP 60 120795 A (HAKUTOU NARUKO KAGAKU KK), 28 June 1985 (1985-06-28) abstract	1-40
A	----- US 5 713 988 A (BELMONT ET AL) 3 February 1998 (1998-02-03) the whole document -----	1-40



# PATENT COOPERATION TREATY

From the  
INTERNATIONAL SEARCHING AUTHORITY

To:

see form PCT/ISA/220

## PCT

### WRITTEN OPINION OF THE INTERNATIONAL SEARCHING AUTHORITY (PCT Rule 43bis.1)

Date of mailing  
(day/month/year) see form PCT/ISA/210 (second sheet)

Applicant's or agent's file reference  
see form PCT/ISA/220

**FOR FURTHER ACTION**  
See paragraph 2 below

International application No.  
PCT/US2004/034957

International filing date (day/month/year)  
20.10.2004

Priority date (day/month/year)  
28.10.2003

International Patent Classification (IPC) or both national classification and IPC  
C09D5/00, C09D11/00

Applicant  
CABOT CORPORATION

1. This opinion contains indications relating to the following items:

- ☒ Box No. I Basis of the opinion
- ☐ Box No. II Priority
- ☐ Box No. III Non-establishment of opinion with regard to novelty, inventive step and industrial applicability
- ☐ Box No. IV Lack of unity of invention
- ☒ Box No. V Reasoned statement under Rule 43bis.1(a)(i) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement
- ☐ Box No. VI Certain documents cited
- ☐ Box No. VII Certain defects in the international application
- ☐ Box No. VIII Certain observations on the international application

2. **FURTHER ACTION**

If a demand for international preliminary examination is made, this opinion will usually be considered to be a written opinion of the International Preliminary Examining Authority ("IPEA"). However, this does not apply where the applicant chooses an Authority other than this one to be the IPEA and the chosen IPEA has notified the International Bureau under Rule 66.1bis(b) that written opinions of this International Searching Authority will not be so considered.

If this opinion is, as provided above, considered to be a written opinion of the IPEA, the applicant is invited to submit to the IPEA a written reply together, where appropriate, with amendments, before the expiration of three months from the date of mailing of Form PCT/ISA/220 or before the expiration of 22 months from the priority date, whichever expires later.

For further options, see Form PCT/ISA/220.

3. For further details, see notes to Form PCT/ISA/220.

Name and mailing address of the ISA:



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D-80298 Munich  
Tel. +49 89 2399 - 0 Tx: 523656 epmu d  
Fax: +49 89 2399 - 4465

Authorized Officer

Kositza, M

Telephone No. +49 89 2399-7885



**WRITTEN OPINION OF THE  
INTERNATIONAL SEARCHING AUTHORITY**

International application No.  
PCT/US2004/034957

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**Box No. I Basis of the opinion**

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1. With regard to the **language**, this opinion has been established on the basis of the international application in the language in which it was filed, unless otherwise indicated under this item.
  - ☐ This opinion has been established on the basis of a translation from the original language into the following language , which is the language of a translation furnished for the purposes of international search (under Rules 12.3 and 23.1(b)).
2. With regard to any **nucleotide and/or amino acid sequence** disclosed in the international application and necessary to the claimed invention, this opinion has been established on the basis of:
  - a. type of material:
    - ☐ a sequence listing
    - ☐ table(s) related to the sequence listing
  - b. format of material:
    - ☐ in written format
    - ☐ in computer readable form
  - c. time of filing/furnishing:
    - ☐ contained in the international application as filed.
    - ☐ filed together with the international application in computer readable form.
    - ☐ furnished subsequently to this Authority for the purposes of search.
3. ☐ In addition, in the case that more than one version or copy of a sequence listing and/or table relating thereto has been filed or furnished, the required statements that the information in the subsequent or additional copies is identical to that in the application as filed or does not go beyond the application as filed, as appropriate, were furnished.
4. Additional comments:

**WRITTEN OPINION OF THE  
INTERNATIONAL SEARCHING AUTHORITY**

International application No.  
PCT/US2004/034957

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**Box No. V Reasoned statement under Rule 43bis.1(a)(i) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement**

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1. Statement

Novelty (N)	Yes: Claims	
	No: Claims	1-40
Inventive step (IS)	Yes: Claims	
	No: Claims	1-40
Industrial applicability (IA)	Yes: Claims	1-40
	No: Claims	

2. Citations and explanations

**see separate sheet**

**WRITTEN OPINION OF THE  
INTERNATIONAL SEARCHING  
AUTHORITY (SEPARATE SHEET)**

International application No.

PCT/US2004/034957

- D1: EP-A-0 716 131 (ROHM AND HAAS COMPANY) 12 June 1996 (1996-06-12)  
D2: WO 02/33008 A (AVECIA B.V; AVECIA LIMITED; OVERBEEK, GERARDUS, CORNELIS; MARTIN, EMIL) 25 April 2002 (2002-04-25)  
D3: WO 01/36547 A (COATES BROTHERS PLC; ALLEN, HUGH, ALEXANDER; MARTIN, RICHARD, VINCENT,) 25 May 2001 (2001-05-25)  
D4: PATENT ABSTRACTS OF JAPAN vol. 009, no. 271 (C-311), 29 October 1985 (1985-10-29) & JP 60 120795 A (HAKUTOU NARUKO KAGAKU KK), 28 June 1985 (1985-06-28)  
D5: US-A-5 713 988 (BELMONT ET AL) 3 February 1998 (1998-02-03)

**Independent claims**

Single independent claim 1 relates to a composition suitable as dispersant comprising (i) an anionic surfactant and (ii) a polymer comprising a salt of a carboxylic acid.

**Novelty**

Each of D1-D4 discloses compositions having all the technical features of claim 1.  
See **D1** claim 1, table 1-4; **D2** page 36-42, example 1; **D3** example 5; **D4** abstract.  
Therefore, claim 1 is not novel.

**Inventive step**

At present it cannot be seen which part of the original disclosure could serve as a basis for drafting a novel independent claim which is non-obvious to the skilled man knowing D1-D5.

**Industrial applicability**

The claimed subject-matter is industrially applicable.